



### SMALL ENTITY STATUS ASSERTION

WHEREAS, **José Ignacio Flores-Morales, Enrique Hernández-Torres**, the undersigned inventors of residences as listed, have invented certain new and useful improvements as below entitled, for which an application for United States Letters Patent is made, said applications having been filed on or about the date set forth below; and

WHEREAS, **UNIEXCEL TECHNOLOGIES S. A. DE C. V.**, a company, organized under the laws of Mexico and with primary place of business as listed, hereinafter referred to as "Assignee", to which an assignment for the above described improvements is made, said assignment having been filed on or about the date set forth below, desires to acquire Small Entity Status and maintain that status in the application Letters Patents that may issue thereon;

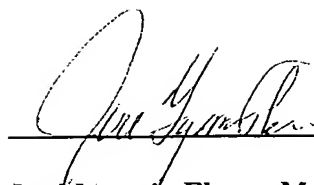
NOW, THEREFORE, we assert, under the provisions as set forth in **37 C. F. R. § 1.27**, that the Assignee is eligible for Small Entity Status as defined in **13 C. F. R., §121, ¶101** through **¶106**.

We further assert that the Assignee, meets the size standard in the number of employees as set forth by the Small Business Administration identified by the North American Industry Classification Systems codes described, in part, in **13 C. F. R., §121, ¶201**, in the **Subsector 327** pertaining to Nonmetallic Mineral Products Manufacturing, more specific to **NAICS Code 327999** related to All Other Miscellaneous Nonmetallic Mineral Product Manufacturing.

Having identified the concept of eligibility to Small Entity Status and the standards set forth for entitlement, this assertion for Small Entity Status on behalf of the Assignee for the application of the invention below and all future applications is binding until such times that a change in status is deemed appropriate or a new determination is set forth.

Invention Name:	<b>Desulphurization of ferrous materials using sodium silicate</b>
Application Serial No.:	<b>S/N 10/662,685</b>
Date Filed:	<b>09/15/2003</b>
Assignee:	<b>UNIEXCEL TECHNOLOGIES S. A. DE C. V.,</b>
Federal Register Code:	<b>UTE001020-CK3</b>
Place of Business:	<b>Privada Liendo 705-I Colonia Obispado Monterrey, Nuevo León, CP 64060 Mexico</b>

**Signature of Inventor:**



**InventorName:**

**José Ignacio Flores-Morales**

**Residence:**

**Privada Encinos 105  
Colonia Carrizalejo  
San Pedro Garza García, Nuevo León  
CP 66200  
México**

**Citizenship:**

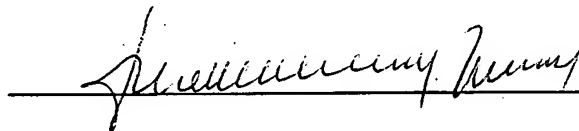
**Mexican**

**Date:**

**28 January 2004**

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**Signature of Inventor:**



**Inventor Name:**

**Enrique Hernández-Torres**

**Residence:**

**154 Fireside Drive  
Brownsville, Texas  
ZIP 78521-1847  
USA**

**Citizenship:**

**Mexican**

**Date:**

**28 January 2004**

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PTO/SB/01 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**☐Declaration  
Submitted  
with Initial  
Filing

OR

☒Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)**Attorney Docket Number**

N/A

**First Named Inventor**

José I. Flores-Morales

**COMPLETE IF KNOWN****Application Number**

10/662,685

**Filing Date**

09/15/2003

**Art Unit**

N/A

**Examiner Name**

Not yet assigned

**As the below named inventor, I hereby declare that:**

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Desulphurization of ferrous materials using sodium silicate

(Title of the Invention)

the specification of which

☐

is attached hereto

OR

☒

was filed on (MM/DD/YYYY)

09/15/2003

as United States Application Number or PCT International

Application Number

10/662/685

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>


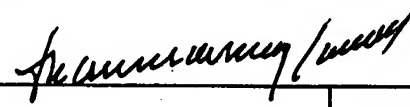
☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**DECLARATION — Utility or Design Patent Application**

Direct all correspondence to: <input checked="" type="checkbox"/>		Customer Number <input type="text"/> OR <input type="checkbox"/> Correspondence address below	
Ignacio Luis Ayala-Ortiz			
Name			
1209 San Dario Avenue, PMB 7502			
Address			
Laredo	TX	78040-4505	
City	State	ZIP	
USA	011 818 528 356-4105	011 818 528 335-2968	
Country	Telephone	Fax	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SOLE OR FIRST INVENTOR :		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name José Ignacio (first and middle [if any])		Family Name Flores-Morales or Surname	
Inventor's Signature 		Date 02/01/2004	
San Pedro Gza. Gcía.	Nuevo León	Mexico	Mexican
Residence: City	State	Country	Citizenship
Privada Encinos 105 Col. Carrizalejo			
Mailing Address			
San Pedro Gza. Gcía.	Nuevo León	66200	Mexico
City	State	ZIP	Country
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name Enrique (first and middle [if any])		Family Name Hernández-Torres or Surname	
Inventor's Signature 		Date 02/01/2004	
Brownsville	Texas	USA	Mexican
Residence: City	State	Country	Citizenship
154 Fireside Drive			
Mailing Address			
Brownsville	Texas	78521-1647	USA
City	State	ZIP	Country
<input type="checkbox"/> Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.			



PTO/SB/81 (09-03)

Approved for use through 11/30/2005. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	S/N 10662,865
Filing Date	09/15/2003
First Named Inventor	José I. Flores-Morales
Title	Desulphurization of ferrous m
Art Unit	N/A
Examiner Name	Not yet assigned
Attorney Docket Number	N/A

I hereby appoint:

☒ Practitioners associated with the Customer Number:

35318

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

☒ Firm or Individual Name Ignacio Luis Ayala-Ortiz

Address 1209 San Dario Avenue, PMB7502

Address

City Laredo

State TX

Zip

78040-4505

Country USA

Telephone 011 528 18 356-4105

Fax

011 528 18 335-2968

I am the:

☒ Applicant/Inventor.☐ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)**SIGNATURE of Applicant or Assignee of Record**

Name Enrique Hernández-Torres

Signature *Enrique Hernández-Torres*

Date 28 January 2004

Telephone 011 528 81 377 3980

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 2 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS



PTO/SB/81 (09-03)

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and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	S/N 10662,865
Filing Date	09/15/2003
First Named Inventor	José I. Flores-Morales
Title	Desulphurization of ferrous m
Art Unit	N/A
Examiner Name	Not yet assigned
Attorney Docket Number	N/A

I hereby appoint:



Practitioners associated with the Customer Number:

35318

OR



Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:



The address associated with the above-mentioned Customer Number:

OR



The address associated with Customer Number:

OR

Firm or  
Individual Name

Ignacio Luis Ayala-Ortiz

Address

1209 San Dario Avenue, PMB7502

Address

City

Laredo

State

TX

Zip

78040-4505

Country

USA

Telephone

011 528 18 356-4105

Fax

011 528 18 335-2968

I am the:



Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name	José I. Flores-Morales	Signature	
Date	28 January 2004	Telephone	011 528 81 377 3980

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.



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